



Department of Corporations'
***Investment Adviser
Education Seminar***
March 7, 2007

The California Department of Corporations is pleased to announce an Investment Adviser Education Seminar for the Los Angeles County area. We invite you to attend this free seminar.

Date: Wednesday, March 7, 2007

Time: 1:00 p.m. to 5:00 p.m. (Check-in begins at 12:15 p.m.)

Please plan to arrive by 12:30 p.m. as the building has a security checkpoint

Location: Ronald Reagan Building
Auditorium
300 S. Spring Street
Los Angeles, CA 90013

The seminar will provide detailed information for preparing your annual financial report and annual updating amendment. Other topics will include:

- ❖ Form ADV, Form U4, and Form U5 Filing Requirements
- ❖ Books and Records (No-Action Letters, Custody, etc.)
- ❖ Reporting Requirements
- ❖ The Examination Process
- ❖ Administrative Penalties

SEATS ARE LIMITED so please respond via e-mail to RAE@corp.ca.gov or by telephone to David Byrd at (415) 972-8581 by Thursday, February 22, 2007. Please include the following information in your RSVP:

- ☐ **Firm Name**
- ☐ **E-mail address**
- ☐ **Name of attendee(s)**
- ☐ **IARD No.**

Confirmations will be sent via e-mail and will include directions to the Seminar Location.